

09/997128

**FITCH, EVEN, TABIN & FLANNERY**

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*Established in 1859*

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 KENNETH E. PLOCHINSKI  
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 LISA M. SOMMER  
 GEORGE H. SPENCER, P.C.\*

## TECHNICAL ADVISOR

JOHN M. BRONK, PH.D.

\*NOT ADMITTED TO ILLINOIS BAR

No. of Pages Transmitted Cover Sheet + 12 Date: February 25, 2005

TO: Name:

**Ms. Kay Pinkney**

Company or Firm:

**U. S. PATENT AND TRADEMARK OFFICE**

City/State/Country:

**Alexandria, VA**

Telecopier No.:

**(703) 308-6642**FROM: **Kenneth H. Samples, Esq.**Dispatched by: **Susan K.**

MESSAGE:

OUR FILE NO.: **72499/6700**

**Attached are copies of the materials you requested by telephone on February 24, 2005**

The documents accompanying this facsimile transmittal cover sheet contain information from the law firm of Fitch, Even, Tabin & Flannery which may be confidential and/or legally privileged. The documents are intended only for the personal and confidential use of the addressee identified above. If you are not the intended recipient or an agent responsible for delivering these documents to the intended recipient, you are hereby notified that any review, disclosure, copying, distribution or the taking of any action in reliance on the contents of this transmitted information is strictly prohibited. If you have received this facsimile in error, please immediately notify the Firm so that we can arrange for the return of the original documents to us. Thank you.

**( XX ) PLEASE ACKNOWLEDGE RECEIPT OF THIS COMMUNICATION**

2 of 15

09/997128

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Inventors: Shinichi Iwano et al.

Attorney Docket No.  
6700/72499

Title: OPTICAL CONNECTOR PLUG, MANUFACTURING  
METHOD THEREOF AND ASSEMBLING TOOL

KHS:ph

Appln. No. 09/997,128

Filed: November 29, 2001

Mailed: February 26, 2002

1. Response to Notice to File Missing Parts (2 pgs.) in triplicate;
2. Copy of Notice to File Missing Parts (1 pg.)
3. Signed Declaration and Power of Attorney (3 pgs.)
4. Recordation Form Cover Sheet (1 pg.)
5. Signed Assignment (2 pgs.)
6. Reply Postcard

Hon. Commissioner of Patents and Trademarks  
Sir:

Please acknowledge receipt of the above-identified documents by applying the Patent and Trademark Office receipt stamp hereto and mailing this card.

Respectfully,  
FITCH, EVEN, TABIN & FLANNERY

Inventors: Shinichi Iwano et al.

Attorney Docket No.  
6700/72499

Title: OPTICAL CONNECTOR PLUG, MANUFACTURING  
METHOD THEREOF AND ASSEMBLING TOOL

KHS:ph

Appln. No. 09/997,128

Filed: November 29, 2001

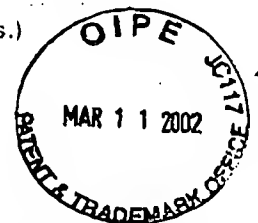
Mailed: February 26, 2002

1. Response to Notice to File Missing Parts (2 pgs.) in triplicate;
2. Copy of Notice to File Missing Parts (1 pg.)
3. Signed Declaration and Power of Attorney (3 pgs.)
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6. Reply Postcard

Hon. Commissioner of Patents and Trademarks  
Sir:

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Respectfully,  
FITCH, EVEN, TABIN & FLANNERY



30515

09/997128

PATENT

Attorney Docket No. 72499

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Shinichi Iwano et al.

Appln No.: 09/997,128

Filed: November 29, 2001

For: OPTICAL CONNECTOR PLUG,  
MANUFACTURING METHOD  
THEREOF AND ASSEMBLING  
TOOLGroup Art  
Unit: 2874

Examiner: Not yet assigned

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on this date.

C2/26/02

Date

Kenneth H. Samples

Registration No. 25,747

Attorney for Applicant(s)

RESPONSE TO NOTICE TO FILE MISSING PARTS

## Box MISSING PARTS

Commissioner of Patents and Trademarks

ATTENTION: Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts dated December 27, 2001, enclosed are:

- ☒ A copy of the Notice to File Missing Parts.
- ☒ An executed Declaration for Patent Application, including Power of Attorney.
- ☐ \_\_\_\_\_ sheet(s) of drawings are enclosed. ☐ Formal ☐ Informal
- ☐ An Assignment of the invention to Nippon Telegraph & Telephone Corp., and Recordation Form Cover Sheet - Patents Only - Form PTO-1595.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover the fee for recording the assignment.
- ☒ The Recordation Form Cover Sheet includes authorization to charge our Deposit Account for recording the assignment.

40815

09/997128

Attorney Docket No. 72499

☒ Fee Calculation:Fee Calculation For Claims As Filed

<input type="checkbox"/> Provisional Application Basic Fee	\$160.00	
Surcharge under 37 C.F.R. §1.16(1)	\$ 50.00	
<input type="checkbox"/> Non-Provisional Utility Application Basic Fee	\$ 740.00	
Independent Claims	3 = 0 x \$ 84.00 =	\$ 0.00
Total Claims	20 = 0 x \$ 18.00 =	\$ 0.00
Fee for Multiply Dependent Claims	\$ 280.00	
Surcharge under 37 C.F.R. §1.16(e)	\$ 130.00	\$ 130.00
<input type="checkbox"/> Design Application Basic Fee	\$ 330.00	
Surcharge under 37 C.F.R. §1.16(e)	\$ 130.00	
Total Filing and/or Surcharge Fee		\$ 130.00
<input type="checkbox"/> Applicant(s) assert entitlement to Small Entity Status, reducing the Filing/Surcharge Fee by half to:		\$ 130.00

☐ A check in the amount of \$\_\_\_\_\_ to cover the Filing and/or Surcharge Fee.☒ Charge \$ 130.00 to Deposit Account No. 06-1135.☒ The Commissioner is hereby authorized to charge any additional fees which may be required in this application under 37 C.F.R. §§1.16-1.17 during its entire pendency, or credit any overpayment, to Deposit Account No. 06-1135. Should no proper payment be enclosed herewith, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 06-1135. This sheet is filed in triplicate.02/26/020

Date

Kenneth H. Samples

Kenneth H. Samples

Registration No. 25,747

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120 South LaSalle Street  
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276500

50 f 15

09/997128

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

OPTICAL CONNECTION PLUG, MANUFACTURING METHOD THEREOF AND ASSEMBLING TOOL

the specification of which (check one)

- ( ) is attached hereto.  
 (X) was filed by an authorized person on my behalf on  
November 29, 2001 as Application Serial No. 09/997,128  
 and was amended on \_\_\_\_\_  
 (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and so identified, and I have also identified below any foreign application for patent or inventor's certificate on this invention filed by me or my legal representatives or assigns and having a filing date before that of the application on which priority is claimed.

<u>Number</u>	<u>Country</u>	<u>Day/Month/Year Filed</u>	<u>Priority Claimed (Yes or No)</u>
11-153922	Japan	1/6/1999	Yes

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
PCT/JP00/03561	June 1, 2000	Pending

Declaration 1092-1

60f15

09/997128

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the following attorneys, with full power of substitution and revocation, to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith and request that all correspondence in respect to this application be directed to FITCH, EVEN, TABIN & FLANNERY, Suite 900, 135 South LaSalle Street, Chicago, Illinois 60603-4277, Telephone No. (312) 372-7842:

<u>Attorney</u>	<u>Req. No.</u>	<u>Attorney</u>	<u>Req. No.</u>
Morgan L. Fitch, Jr.	17,023	Robert J. Fox	27,635
Francis A. Even	16,880	Kenneth H. Samples	25,747
Julius Tabin	16,754	Philip T. Petti	31,651
John F. Flannery	19,759	John S. Paniaguas	31,051
Robert B. Jones	20,135	Donald A. Peterson	18,647
James J. Schumann	20,856	James R. McBride	24,275
R. Steven Pinkstaff	20,448	James A. Sprowl	25,061
James J. Hamill	19,958	Bruce R. Mansfield	29,086
Timothy E. Levstik	30,192	Richard P. Beem	32,961
Joseph E. Shipley	31,137	Richard A. Kaba	30,562
Bryant R. Gold	29,715	Karl R. Fink	34,161

Full name of sole or one joint inventor:

Shinichi IWANO

Inventor's signature:

*Shinichi Iwano*

Date:

February 22, 2002

Residence:

Tokyo, Japan  
(City and State for U.S. Residents;  
City and Country for others);

Post Office Address:

c/o NTT Intellectual Property Center  
9-11, Midori-cho, 3-chome, Musashino-shi  
Tokyo 180-8585, Japan

Citizenship:

Japan

Address for Correspondence: FITCH, EVEN, TABIN & FLANNERY  
135 South LaSalle Street-Suite 900  
Chicago, Illinois 60603-4277

Declaration 1196-2

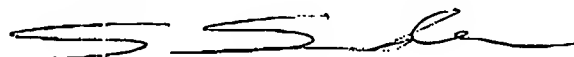
7 of 15

09/997/28

Full name of sole or one  
joint inventor:

Shin SUMIDA

Inventor's signature:



Date:

February 22, 2002

Residence:

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(City and State for U.S. Residents;  
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joint inventor:

Shuichi YANAGI

Inventor's signature:

Shuichi Yanagi

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Residence:

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City and Country for others);

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9-11, Midori-cho, 3-chome, Musashino-shi,  
Tokyo 180-8585, Japan

Citizenship:

Japan

Full name of sole or one  
joint inventor:

Inventor's signature:

Date:

Residence:

(City and State for U.S. Residents;  
City and Country for others);

Post Office Address:

Citizenship:

09/997128

日 本 国 特 許 庁  
JAPAN PATENT OFFICE

別紙添付の書類に記載されている事項は下記の出願書類に記載されている事項と同一であることを証明する。

This is to certify that the annexed is a true copy of the following application as filed with this Office.

出 願 年 月 日                      1 9 9 9 年    6 月    1 日  
Date of Application:

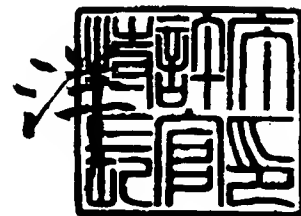
出 願 番 号                      平成 1 1 年特許願第 1 5 3 9 2 2 号  
Application Number:  
[ST. 10/C]:                      [ J P 1 9 9 9 - 1 5 3 9 2 2 ]

願                      人                      日本電信電話株式会社  
Applicant(s):

2 0 0 5 年    2 月 1 8 日

特許庁長官  
Commissioner,  
Japan Patent Office

小 川



出証番号    出証特 2 0 0 5 - 3 0 1 2 4 5 7

90415



特願平 1 1 - 1 5 3 9 2 2

ページ: 1/

【書類名】 特許願

【整理番号】 NTTH115325

【提出日】 平成11年 6月 1日

【あて先】 特許庁長官 殿

【国際特許分類】 G02B 6/36

【発明の名称】 光コネクタプラグおよびその製造方法

【請求項の数】 21

【発明者】

【住所又は居所】 東京都新宿区西新宿三丁目 1 9 番 2 号 日本電信電話株式会社内

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【発明者】

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【氏名】 柳 秀一

【特許出願人】

【識別番号】 000004226

【氏名又は名称】 日本電信電話株式会社

【代理人】

【識別番号】 100077481

【弁理士】

【氏名又は名称】 谷 義一



## UNITED STATES PATENT AND TRADEMARK OFFICE

09/997128

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/997,128	11/29/2001	Shinichi Iwano	72499	3397

22242 7590 02/28/2005

FITCH EVEN TABIN AND FLANNERY  
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SUITE 1600  
CHICAGO, IL 60603-3406

EXAMINER

KIM, ELLEN E

ART UNIT

PAPER NUMBER

2874

DATE MAILED: 02/28/2005

## PRIORITY ACKNOWLEDGMENT

- ☒ 1. Receipt is acknowledged of priority papers submitted under 35 U.S.C. 119. The papers have been placed of record in the file.
- ☐ 2. Applicant's claim for priority, based on papers filed in parent Application Number \_\_\_\_\_ submitted under 35 U.S.C. 119, is acknowledged.
- ☐ 3. The priority papers, submitted \_\_\_\_\_, after payment of the issue fee are
- ☐ acknowledged
- While the priority claim or certified copy filed will be placed in the file record, neither will be reviewed and the patent when published will not include the priority claim.
- See 37 CFR 1.55(a)(2).
- ☐ not acknowledged since the processing fee in 37 CFR 1.17(i) has not been received.
- ☐ 4. For utility and plant applications filed on or after November 29, 2000, the priority claim is not entered because the claim was not presented within the time limit required by 37 CFR 1.55(a)(1). A petition to accept a delayed claim for priority under 35 U.S.C. 119(a) - (d) or (f), or 365(a) may be filed. See 37 CFR 1.55(c) and MPEP 201.14(a).

*[Signature]*  
Manager, Publishing Division  
Office of Patent Publication  
(703) 305-8388

110 of 15

09/997128

Application of:

Iwano et al.

MAR 19 2002

Atty.Dkt. 72499

Serial No. 09/997,128

KHS:LIS:sjk

Entitled: OPTICAL CONNECTOR PLUG, MANUFACTURING METHOD THEREOF  
AND ASSEMBLYING TOOLInformation Disclosure Statement, PTO/SE/O8A Substitute for Form PTO-1449 and  
references as indicated.

Hon. Commissioner of Patents and Trademarks

Sir:

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Respectfully,

FITCH, EVEN, TABIN &amp; FLANNERY

Application of:

Iwano et al.

MAR 19 2002

Atty.Dkt. 72499

Serial No. 09/997,128

KHS:LIS:sjk

Entitled: OPTICAL CONNECTOR PLUG, MANUFACTURING METHOD THEREOF  
AND ASSEMBLYING TOOLInformation Disclosure Statement, PTO/SB/O8A Substitute for Form PTO-1449 and  
references as indicated.

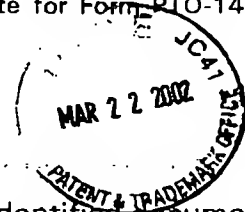
Hon. Commissioner of Patents and Trademarks

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mailing this card.

Respectfully,

FITCH, EVEN, TABIN &amp; FLANNERY



120415

09/997128

PATENT APPLICATION  
ATTORNEY DOCKET NO. 72499IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Shinichi Iwano et al.

Appln No.: 09/997,128

Filed: November 29, 2001

For: OPTICAL CONNECTOR PLUG,  
MANUFACTURING METHOD  
THEREOF AND ASSEMBLING  
TOOL

Group Art

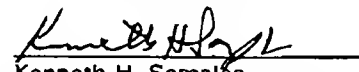
Unit: 2874

Examiner: Not Yet Assigned

Honorable Commissioner of Patents  
Washington, D.C. 20231CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on this date.

3/17/02  
Date

  
Kenneth H. Samples  
Registration No. 25,747  
Attorney for Applicant(s)

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Pursuant to the duty of disclosure under 37 C.F.R. 1.56, submitted herewith is an Information Disclosure Statement, PTO/SB/08A Substitute for Form PTO-1499, and copies of references cited thereon.

FOREIGN PATENT DOCUMENTS

<u>Document No.</u>	<u>Publication Date</u>	<u>Translation</u>
JP10-319273 A	December 04, 1998	Abstract
JP 05-323149 A	December 07, 1993	Abstract
JP 03-092803 A	April 18, 1991	Abstract
JP 63-256909 A	October 24, 1988	Abstract
EP 0 819960 A2	January 21, 1998	Yes
EP 0 862072 A2	February 09, 1998	Yes

09/997128  
A. Orney Docket No. 72499

**REMARKS**

Pursuant to 37 CFR §1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR §1.56(b).

The Commissioner is hereby authorized to charge any fees which may be required in this application under 37 C.F.R. §§1.16-1.17 to Deposit Account No. 06-1135.

Respectfully submitted,

FITCH, EVEN, TABIN & FLANNERY

By

Kenneth H. Samples  
Kenneth H. Samples  
Registration No. 25,747

Dated: March 19, 2002

120 South LaSalle Street  
Suite 1600  
Chicago, Illinois 60603  
Telephone: (312) 577-7000  
Facsimile: (312) 577-7007

277942

09/997128

PTO/SB/08A Substitute for Form PTO-1449  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		Application Number	09/997,128		
		Filing Date	November 29, 2001		
		First Named Inventor	Shinichi Iwano		
		Art Unit	2874		
		Examiner Name	Not Yet Assigned		
Sheet	1	of	1	Attorney Docket	72499

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup>			

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>3</sup> -Number*-Kind Code <sup>5</sup>				
		JP10-319273 A	12/04/1998	Nippon Steel Weld Prod.	Entire doc.	A
		JP 05-323149 A	12/07/1993	Nippon Steel Weld Prod.	Entire doc.	A
		JP 03-092803 A	04/18/1991	Hitachi Ltd	Entire doc.	A
		JP 63-256909 A	10/24/1988	Sumitomo Electric Ind. Ltd	Entire doc.	A
		EP O 819960 A2	01/21/1998	Seiko Instruments Inc.	Entire doc.	Y
		EP O 862072 A2	09/02/1998	Seiko Instruments Inc.	Entire doc.	Y

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
		International Search Report for PCT/JP00/03561 issued 08/23/2000

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

15 of 15